

INSTRUCTIONS

for Public Works

A. NEED FOR THE ACTIVITY.

1. **Proposed use of funds:** Check the box which best describes the activity which CDBG funds will pay for under this funding proposal.
2. **Project Description:** Provide project description.

Provide a brief narrative about the project. Give information about the use of CDBG funds, what the total project will cost, the total number of beneficiaries, and a breakdown of TIG and LTIG beneficiaries.

If you are proposing a combination of activities or uses, explain all aspects of these combinations. If the proposed activity is part of a larger project, please describe the whole project and how the CDBG-funded portion fits into that project. Remember that the completion of construction and use of the services by the TIG/LTIG beneficiaries must occur by CDBG contract expiration.

Example: The City of XYZ is proposing to use \$500,000 in CDBG funds to finance 200 wastewater lateral hook-ups for TIG households in the city and expansion of the system to serve an outlying subdivision. The hook up are being done in conjunction with a \$5,000,000 RDA/RECDS Water and Sewer loan and a \$430,700 RDA/RECDS grant that is paying for sewer system treatment upgrades required under a cease and desist order currently in effect on the city. The city will also be using CDBG funds to pay for expansion of services into "Need A Lot of Help" subdivision which was surveyed two years ago and documented as 85% TIG and which currently has no collection system and whose residence currently have a large number of septic system failures (see attached photos).

3. **Site Control:** Provide description of current site control status, check appropriate box, and attach documentation for readiness points.
4. **Environmental Clearance:** Name level of NEPA clearance by checking the appropriate box. Attach copy of environmental review record completed to date for readiness points.

Name the estimated level of National Environmental Policy Act (NEPA) clearance for the proposed activity (See Chapter 3 of the 2003 grant management manual for NEPA clearance level determination guidance and call your CDBG representative with questions or clarification.). Your project's schedule and budget should allow for sufficient time and funds to complete environmental clearances prior to commencement of activities. Public works activities require a more elaborate level of environmental clearance than other types of community development activities so make sure you have factored in sufficient time to complete the NEPA process properly.

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Environmental documents which do not meet CDBG NEPA requirements include: a California Environmental Quality Act (CEQA) review **or** a NEPA environmental review record (ERR) done for another federal funding agency (e.g., USDA-Rural Development). You may use the information in the CEQA and USDA NEPA documents to complete your CDBG NEPA ERR but they cannot be substituted for a properly completed CDBG ERR. If CDBG is part of a larger public works project which is using other State and Federal funds then it is best to use the single combined ERR document provided by Memorandum of Understanding (MOU) between agencies under the California Financing Coordinating Committee and you can access this joint ERR document at: www.swrcb.ca.gov/cwphome/mss/sfccfr. Please contact your CDBG representative for further guidance on your project's ERR.

CDBG staff recommends completing the ERR prior to submitting the CDBG application in order to receive additional readiness points. If any “choice limiting actions” are taken prior to completing the environmental review and obtaining release of CDBG funds, then the state will not allow any CDBG funds to be used on the project. Call your representative with any questions on what constitutes a choice limiting action.

5. **Narrative of Severe Health and Safety Issue Activity will Address:** Provide a brief description of what severe health and safety issue will be solved with implementation of the proposed activity.
6. **Description of How Activity will Substantially Eliminate the Current Problem:** Give concrete example of how the proposed project will eliminate the severe health safety problem stated above in number 5.
7. **Description of How the Applicant will Ensure that the Improvements Funded with this Proposal will be Maintained in the Future:** Give detailed description of how infrastructure improvement will be maintained and what local source of funds will pay for the maintenance.
8. **Documentation “Quantitative” of Problem:** Check the box which best describes how the local jurisdiction documented the severe health and safety issue which this funding proposal activity will solve. The most effective methods of documentation include:
 - a. Cease and desist orders or letters of non-compliance from State and Federal regulatory agencies, letters or documentation from county health or public works agencies listing non-compliance issues, studies from engineers which document failed structural systems or inadequate flows or pressure, letter from local fire marshal or planning director which states that the water system is not adequate for fire flows, etc. All this documentation must describe the direct health and safety impact on TIG residents and all health and safety issues that results from the lack of services or facilities.

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- b. Surveys of existing service levels and needs showing the number of people served and turned away due to inadequate facilities or funds.
 - c. Surveys of intended beneficiaries regarding their needs and the impacts of not having the facility or service.
9. **Documentation Chart:** Third party documentation of the problem is a critical element of a successful public works application. The applicant should obtain as many third party letters and documentation as possible which describe and discuss the problem being addressed by the proposed activity. The best letters should also “quantify” the problem by including specifics on restricted flows, defective storage treatment facilities, supply deficiencies, and water quality problems. The most competitive applications will contain documentation from an **outside agency** (regulatory agency is best) stating that the problem the project is addressing is severe and health threatening. In particular, for water and sewer projects, documentation should be sought from the Department of Health Services and the State Water Resources Control Board. A type of quantitative documentation not from an outside agency is testing results of water sources for a community, which show excess levels of contaminants above State or Federal standards. Call your CDBG representative with questions or clarifications about documentation which can be used for this section.

B. TARGETED INCOME GROUP BENEFIT

1. **Provide Documentation of Target Income Group (TIG) Benefit:** Check the box that indicates how TIG benefit is determined and enter the percentage of TIG benefit into the proper box. (Note: To open the box and fill in the percentage, you will need to left click on the box and select properties then enter the proper percentage and close the box.)
- a. Income restriction is always done when funds will pay for domestic water or sewer laterals on private property or when funds will pay for a household’s utility assessment.
 - b. Limited Clientele will very seldom be used. Contact your CDBG representative is you think this will apply.
 - c. Other typically applies to census data, or survey data. If survey data is used then one of the two charts which follow must be completed.

When addressing a neighborhood or community-wide public works problem, benefit is generally provided to all the occupants of a geographic area or all users of the facility/service. Typically, only a portion of the CDBG funds for such an activity benefits TIG households, unless the target area is extremely depressed. **For ranking purposes, TIG benefit of 90 percent or greater will receive full 300 points under this category.**

Lowered benefit will not necessarily result in an application not being funded, but any activity with less than 80 percent benefit to TIG households is likely to be at a competitive disadvantage with other activities. Therefore, it is especially important when requesting funds for public works activities, to ensure that the application is as competitive as possible for all other activity rating criteria, (i.e. need, leverage, performance)

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If an applicant does not feel that its proposed project will serve an area that would result in a relatively high benefit to TIG households, it may wish to structure its public works activity in such a manner that focuses benefit to TIG households. For example, when sewer/water laterals on private property are installed or repaired using CDBG funds, 100 percent benefit can be directed to TIG households by assisting only TIG households with CDBG funds. Applicants can also limit assistance to infrastructure costs on certain streets with high TIG benefit.

If the applicant is working with a project that requires the formation of an assessment district, CDBG funds may be used to pay the assessments for TIG households. If an applicant wishes to use this approach, it is important to establish accurate, current data (through surveys usually) regarding the number and distribution of TIG households in the service area so as to be able to accurately estimate the amount of State CDBG funds that will be required to pay for the TIG assessments.

Appendix B includes a sample income survey form. Applicants are advised to evaluate the number of renter-occupied units when estimating both the extent and the likelihood of participation in the program if the application is successful.

C. SOURCES AND USES

1. **Sources and Uses Form.** Complete this form by showing all the planned funding sources needed to complete the project and what uses or activities under the project that those sources will pay for. **See Appendix E of this application to see what the eligible uses of CDBG funds are for this project.**

Sources. The major funding sources are printed on the form.

The amounts and sources for local and private funding contributions in this chart should match the information provided on the leverage charts in the front part of the application. Make entries here for any State, Federal, or other sources, that you will be using to finance the **entire project**.

Uses. Identify the cost categories applicable to your proposed project and enter the amounts you plan to use. Allocate the amounts across the table to the funds you expect to receive from all the sources listed. This chart should include costs for the **entire project** (not just the CDBG portion). Your cost estimates can assist you in calculating these entries.

- For the Construction lines, include a factor for Davis-Bacon wages when applicable. All construction costs should include a contingency established in the line item.

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- The Equipment category could include items such as outdoor pump equipment.
- Examples of fees that should be listed are commissions to brokers or closing costs for the acquisition of land or a building.
- General administration costs should include staff time for grant administration, such as clearing the grant agreement special conditions and grant reporting.
- Activity delivery costs should include the costs which the State CDBG Program would consider activity delivery.

Please double-check the totals, in all rows at the far right and all bottom of columns for accuracy.

D. PROGRAM READINESS

Of the 150 points available for capacity, your application may be awarded up to 50 points if you complete and document actions that make the proposed project ready to proceed. The purpose of the Program Readiness Chart is to document this activity's level of readiness for implementation, if awarded. Higher points will be awarded to applicants which clearly document an ability to implement their project as soon as they get awarded and release of CDBG funds. Lower points will be awarded to applicants that do not demonstrate such readiness and who may not have site control or who need additional financing or need to complete project's engineering and design work or need to hold election for assessments or need to complete environmental review. The applicant pool sets the standard and the most ready will receive full points and those less ready will be prorated based on the amount of work remaining before construction can begin.

Program Operator/Administrator:

- Identify who will be the program operator (the city/county, an outside consultant, another agency, etc.)
- Identify who will be the program administrator
- List documentation that you are submitting to evidence readiness in this category.
- Indicate the page number where the supporting documentation can be found.

Regardless of who is operating and administering the project, you must include proper documentation (copies of resumes, contracts, sub-recipient agreements) in order to receive points in this category.

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Environmental Clearance Level:

- Identify all key environmental documentation that has been completed to satisfy National Environmental Policy Act (NEPA) environmental clearance. It is not necessary to submit a finished environmental review record (ERR) and you will get partial points for a partial ERR. However, applicants who submit an inaccurate ERR which will not meet NEPA procedural requirements will not get any points so make sure you do the appropriate process in completing the ERR.

Note: Most public works projects involve an Environmental Assessment (with a Finding of No Significant Impact). *Please refer to the CDBG 2003 Grant Management Manual, Chapter 3, for guidance on this issue.*

Site Control:

- Identify all forms of site control that are required for this project and attach the proper documentation (deed of trust, option to purchase, documentation of easements or right of ways) to evidence readiness in this category.

Special Conditions:

- Identify all items that you are submitting in order to evidence that the jurisdiction has complied with special conditions (identified in the executed contract, if awarded) that are typically associated with this type of project (anti-displacement plan, program income, reuse plan, documentation of financing in place). *Please contact the CDBG Program Representative for your area if you need further guidance on this issue.*

Project Financing:

- Identify all items that you are submitting in order to evidence that the jurisdiction has secured all financing commitments needed (except CDBG funds requested) to complete the entire project.

Project Readiness:

- Identify all items that you are submitting in order to evidence that the jurisdiction is ready to implement the project upon CDBG contract award and clearance.

Such items may include:

- Local Government Approvals
- Completed Plans and Specifications (or preliminary plan and/or engineer hired to do final plans)
- Completed Bid Package
- List of pre-approved families to receive lateral installations or assessments

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E. REQUIRED MAPS

Please provide the requested maps with your application. These maps can be generated using the census web site, factfinder.census.gov/servlet/thematicmapframesetservlet.

NOTE: If you are proposing multiple activities, please provide maps for each activity.

➤ **Ethnic/TIG Concentration Map**

Based on the applicant's knowledge of the area and available data, provide a legible map of the jurisdiction that shows:

- ☐ The location of concentrations of non-white persons **and** Hispanic persons within the entire jurisdiction, and
- ☐ The location of concentrations of targeted income group families within the entire jurisdiction.

Note: Targeted income group (TIG) data is **different** than poverty data. Most targeted income group data can be obtained by visiting the American Fact Finder website at: www.factfinder.census.gov

➤ **Location Map**

The location map must be legible and must include:

- ☐ The census tract number(s) and the boundaries within which CDBG funds will be spent for the proposed activity , and
- ☐ The census block group number(s) and the boundaries within which CDBG funds will be spent for the proposed activity , and
- ☐ The general location of the proposed activities, including geographic boundaries of the targeted or service areas covered by the proposed activity.

Note: Most maps can be obtained by visiting the American Fact Finder website at: www.factfinder.census.gov/servlet/thematicmapframesetservlet.

➤ **Project Site Map**

For site-specific activities, include a project site map which shows:

- ☐ The location and size of existing and proposed infrastructure (road, water, sewer, etc.), if applicable or pertinent, and
- ☐ The location and size of the proposed improvements, if applicable.

NOTE: Include all required maps at the end of each activity section for which you are applying.

NEED for ACTIVITY
Public Works

A. NEED FOR ACTIVITY

1. Identify the proposed uses for the requested CDBG funds. **Check all that apply.** *Please see Appendix I of the NOFA for detailed description and limitations of these uses.*

☐ Sewer System

☐ Water System

☐ Flooding and Drainage

☐ Laterals (on private property) - water/sewer

☐ Assessments: describe for which type of _____

☐ Other: (describe) _____

2. Please provide a brief description of the project and/or service to be provided.

3. Site Control. If the proposed project involves site acquisition, please answer the following question.

- Do you have site control in place for at least 90 days beyond the execution date of the CDBG contract?

☐ Yes. Attach documentation.

☐ No. Explain Below.

Note: Site acquisition costs incurred prior to the award of a grant, execution of a grant agreement, and satisfaction of any special conditions are not reimbursable from the grant.

4. Environmental Clearance. What is the anticipated level of environmental clearance under the National Environmental Policy Act (NEPA)? **(Attach all completed documentation.)**

Categorically Excluded subject to

☐ 58.5 statutes per 24 CFR Part 58.35, but requires no mitigation and converts to

☐ Environmental Assessment

☐ Minor Rehabilitation Environmental Review

Note: An Environmental Assessment is required when the project will increase service and/or capacity by more than 20%.

NEED for ACTIVITY
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5. What SEVERE health and safety needs does this activity address?

6. What is the likelihood that the funds requested will substantially reduce or eliminate the problem?

7. Describe what steps, if any, the jurisdiction has taken or is planning to take to provide for long-term operation and maintenance of the system. (e.g., a rate structure or financing plan to set up replacement or operating reserves, etc.)

8. How was the health and safety need determined? (Complete the *Health and Safety Need Documentation Chart* and attach appropriate documentation)
 - ☐ Cease and Desist Order or Letters describing the DIRECT health and safety impact from third party or regulatory agency.
 - ☐ Study which documents insufficient levels of service or imminent safety threat from system failure.
 - ☐ Study or testing which documents potable water contamination in violation of State or Federal standards.
 - ☐ Study or documentation of failed septic systems or sewer system failure.
 - ☐ Study or documentation of lack of service or capacity and need for expansion of the

NEED for ACTIVITY
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9. HEALTH and SAFETY NEED DOCUMENTATION CHART

SOURCE	TYPE OF DOCUMENTATION to Support Health and Safety Need (letter, reso., Cease and Desist Order, newspaper clipping, report, etc.)	Page # (in app.)
Department of Health Services		
Regional Water Quality Control Board		
Department of Water Resources		
County Health Department		
Fire Department		
Law Enforcement Agency		
Department of Social Services		
Newspaper		
Engineering Firms		
Local Water Board		
Irrigation District		
Board of Supervisors		
Other: _____ _____		
Other: _____ _____		

**TIG BENEFIT
Public Works**

B. TARGETED INCOME GROUP (TIG) BENEFIT

1. For this activity, how was the TIG percentage determined?

☐ Income Restriction

_____ % TIG

☐ Limited Clientele

☐ Other. Explain:

-Census Data or Survey or _____

_____ % TIG

☐ Income survey of EXISTING beneficiaries. (attach survey instrument, methodology, & results)

_____ % TIG

Survey Date:	
Total # of existing beneficiaries:	
Households or persons?	
How many were surveyed?	
Total number of responses:	
<i>Number of TIG responses:</i>	
<i>Number of Non-TIG responses:</i>	

And/or

☐ Income survey of POTENTIAL beneficiaries. (attach copy of survey form, methodology, & results)

_____ % TIG

Survey Date:	
Total # of potential beneficiaries:	
Households or persons?	
How many were surveyed?	
Total number of responses:	
<i>Number of TIG responses:</i>	
<i>Number of Non-TIG responses:</i>	

SOURCES AND USES
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C. SOURCES AND USES FORM. Show all funds you plan to use for the entire project (CDBG funds requested and all other funding sources).

USES		SOURCES							Totals:
	State CDBG	Local Financial	Private Financial	Program Income	Federal	State Funds	Other: List		
Land Acquisition									\$
Building Acquisition									\$
Construction On-Site									\$
Construction Off-Site									\$
Equipment									\$
Final Plans & Specs.									\$
Fees									\$
Contingency									\$
Relocation									\$
Local Gov. Approvals									\$
Activity Delivery									\$
General Administration									\$
Other:									\$
Other:									\$
Totals:	\$	\$	\$	\$	\$	\$	\$	\$	\$

PROGRAM READINESS
Public Works

D. PROGRAM READINESS – Public Works

Please refer to instructions for guidance on completing this chart.

Program Operator/Administrator <i>(Check all that apply)</i>	Documentation Required (in order to receive any points)	Page #
<input type="checkbox"/> In-house Staff	Resumes and Duty Statements of key staff (which show that the staff are qualified to implement the project)	
<input type="checkbox"/> Program Consultant (must be conditioned upon receipt of CDBG award)	Executed contract from prior year (still in force); or New executed contract; or Completed contract that is ready to sign upon award of CDBG funds.	
<input type="checkbox"/> Sub-recipient Agreement (must be conditioned upon receipt of CDBG award)	Existing Sub-recipient Agreement; or A completed sub-recipient agreement that is ready to sign upon award of CDBG funds	

Environmental Clearance <i>(Check the one that applies)</i>	Documentation Required (in order to receive any points)	Page #
<input type="checkbox"/> Environmental Assessment with a Finding of No Significant Impact (FONSI)	Completed <i>Environmental Assessment</i>	
	A copy of the (ready-to-publish) combined <i>Notice of FONSI and Notice of Intent to Request Release of Funds</i>	
	A copy of the completed <i>Request for Release of Funds and Certification</i> (not signed and not dated)	
	A completed <i>Environmental Finding Form</i> , indicating and Environmental Assessment	
	A completed <i>Form 58.6</i>	
	A description of the project	

PROGRAM READINESS

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Environmental Clearance (cont.) (Check the one that applies)	Documentation Required (in order to receive any points)	Page #
Categorically Excluded, but subject to 58.5..... (site-specific projects that do not change the service or capacity by more than 20%) <input type="checkbox"/>	A completed Environmental Finding Form , indicating a "Finding of Categorical Exclusion, per Section 58.35(a) and a conversion to <i>Exempt</i> ."	
	A completed Form 58.6	
	A completed and documented Statutory Worksheet with <u>no</u> secondary findings..	
	A copy of supporting documentation, including the SHPO Programmatic Agreement and correspondence , where applicable.	
	A description of the project	
(See CDBG 2003 Grant Management Manual, Chapter 3, for other required documentation)		
Environmental Clearance (cont.) (Check the one that applies)	Documentation Required (in order to receive any points)	Page #
MRER- Categorically Excluded, but subject to 58.5 but does not convert to exempt. <input type="checkbox"/>	A completed Environmental Finding Form , indicating a "Finding of Categorical Exclusion, per Section 58.35(a) not converting to <i>Exempt</i> ."	
	A completed Form 58.6	
	A completed and documented Minor Rehab Environmental Review <u>no</u> secondary findings..	
	A copy of proper public notice and Certification and request for release of funds.	
	A description of the project	

PROGRAM READINESS
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Special Conditions	Documentation Required <i>(in order to receive any points)</i>	Page #
Site Control-		
<input type="checkbox"/> Proof of Ownership	Deed of Trust or proof of public ownership	
<input type="checkbox"/> Purchase Option	Copy of signed and dated purchase option.	
<input type="checkbox"/> Easement on Private Property	Copy of Easement	
Program Income Re-Use Plan	Program Income Re-Use Plan Approval Letter	
Anti-Displacement Plan	Anti-Displacement Plan Approval Letter	
Financing Commitments	Include copies of approval/commitment letters	

Project Readiness <i>(check all that apply)</i>	List Documentation submitted to evidence compliance with checked items. <i>(In order to receive any points)</i>	Page #
<input type="checkbox"/> Waiting list of pre-qualified participants laterals or		
<input type="checkbox"/> Preliminary Plans and Specifications		
<input type="checkbox"/> Eligible Contractors-Bidders		
<input type="checkbox"/> Marketing Plan/Program Materials		
<input type="checkbox"/> Engineer Procured		
<input type="checkbox"/> Assessment District in		
<input type="checkbox"/> Final Plans and Specifications		
<input type="checkbox"/> Local Approvals Given		

REQUIRED MAPS

Public Works

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